



New York City Council

Christine C. Quinn, Speaker

Finance Division

Preston Niblack, Director

Jeffrey Rodus, First Deputy Director

Hearing on the Mayor's Fiscal Year 2011 Preliminary Budget

Department of Records & Information Services

March 15, 2010

Committee on Government Operations

Hon. Gale A. Brewer, Chair

Andy Grossman, Deputy Director, Finance Division

Lionel Francois, Legislative Financial Analyst

Summary and Highlights

Department of Records & Information Services (DORIS)

Dollars in Thousands

	2008 Actual	2009 Actual	2010 Adopted	2010 Jan. Plan	2011 Preliminary	Difference 2010 – 2011
Personal Services	\$3,098	\$3,017	\$2,111	\$1,990	\$1,857	(\$254)
Other Than Personal Services	2,791	2,916	2,888	2,891	2,637	(251)
Total	\$5,889	\$5,933	\$4,999	\$4,881	\$4,494	(\$505)

The proposed Fiscal 2011 Preliminary Budget for DORIS (\$4.5 million) is 10% smaller than its Fiscal 2010 Adopted Budget (\$5 million). This reduced appropriation is chiefly the result of proposed layoffs netted against collective bargaining increases.

Highlights for the Department of Records & Information Services Fiscal 2011 Preliminary Budget:

- Per the Fiscal 2011 Preliminary Budget, DORIS proposes to meet its reduction target by laying-off eight staffers in various functions throughout the Department generating about \$414,000 in savings in Fiscal 2011.
- The quantity of records preserved by the Department decreased 13 percent during the reporting period, from 237,982 in Fiscal 2009, to 206,996 in Fiscal 2010.
- Patron requests for information from the City Hall Library and Municipal Archives decreased 12 percent overall, from 20,130 in the first four months of Fiscal 2009, to 17,801 in the same period of Fiscal 2010.
- The Municipal Archives received 10 percent fewer requests for information in the reporting period, 17,226 in Fiscal 2010 compared to 19,132 in the same period of Fiscal 2009.

Department of Records & Information Services (DORIS)

The Department of Records and Information Services (DORIS) preserves and maintains the City’s records and publications through the Municipal Archives, the Municipal Records Management Division, and the City Hall Library. The Department currently responds to more than 55,000 requests annually and provides the public and City agencies access to approximately 180,000 cubic feet of historically valuable City records and photos, and a unique collection of more than 324,000 books, official government reports, studies and other publications. Through its website, the Department also provides electronic access to official reports issued by New York City government agencies. Additionally, the Department operates records storage facilities in two locations with a combined capacity of 690,000 cubic feet, and provides records management services to fifty City agencies, ten courts, and the five district attorneys’ offices. Records services include scheduling, offsite storage and retrieval, and overall guidance on management of records in all media.

- Key Public Services Areas**
- Provide the public and City agencies with access to public records and publications.
 - Provide City agencies, the courts, and district attorneys with record storage, retrieval, and retention scheduling services.

- Critical Objectives**
- Increase the volume and availability of public records and publications.
 - Respond promptly to research requests.
 - Retrieve records promptly from off-site facilities upon record owner’s request.
 - Transfer eligible records to off-site storage and dispose of records that have reached the end of their retention period according to approved schedules.

SOURCE: Mayor’s Management Report

Department of Records & Information Services Financial Summary

Dollars in Thousands

	2008 Actual	2009 Actual	2010 Adopted	2010 Jan. Plan	2011 Preliminary	Difference 2010 – 2011
Budget by Program Area						
Personal Services	\$3,098	\$3,017	\$2,111	\$1,990	\$1,857	(\$254)
Other Than Personal Services	2,791	2,916	2,888	2,891	2,637	(251)
TOTAL	\$5,889	\$5,933	\$4,999	\$4,881	\$4,494	(\$505)
Funding						
City Funds			\$4,764	\$4,630	\$4,259	(\$505)
Intra-City			11	26	11	0
Other Categorical			15	15	15	0
State			210	210	210	0
TOTAL			\$4,999	\$4,881	\$4,494	(\$505)
Positions						
Fulltime Positions	47	44	38	34	30	(8)
TOTAL	47	44	38	34	30	(8)

Expense Budget Highlights

The Department of Records and Information Services (DORIS) proposes a Fiscal 2011 Preliminary Budget totaling \$4.5 million which is \$505,000 below its \$5 million Adopted Budget for Fiscal 2010. The Fiscal 2011 Preliminary Budget is also \$387,000 below the Department's Fiscal 2010 January Plan appropriation of \$4.9 million, a reduction of approximately 7.9%. Virtually all of this reduction comes as a result of the Department's proposed layoffs as per its Fiscal 2011 Preliminary Budget reduction package. This includes a reduction of eight staff in Fiscal 2011 as reflected in the Department's "Financial Summary" chart above. Given the Department's necessarily slim budgetary margins, these reductions would inevitably be painful and would play havoc with its archival and preservation functions which lay at the heart of its departmental mission.

Personal Services (PS) & Other Than Personal Services (OTPS)

Department of Records & Information Services

Dollars in Thousands

	2008 Actual	2009 Actual	2010 Adopted	2010 Nov Plan	2011 Nov Plan	Difference 2010-2011
Spending						
Full-Time Salaried - Civilian	\$2,338	\$2,267	\$1,992	\$1,874	\$1,736	(\$257)
Other Salaried and Unsalariated	645	617	203	211	206	3
Additional Gross Pay	101	133	45	45	45	0
Overtime - Civilian	14	0	0	0	0	0
Fringe Benefits	0	0	0	0	0	0
Amounts to be Scheduled	0	0	(130)	(140)	(130)	0
Total, PS	\$3,098	\$3,017	\$2,111	\$1,990	\$1,857	(\$254)
Supplies and Materials	\$259	\$106	\$79	\$72	\$79	\$0
Property and Equipment	122	112	61	9	61	0
Other Services and Charges	2,383	2,661	2,730	2,771	2,479	(251)
Contractual Services	27	38	18	39	18	0
Fixed and Misc. Charges	1	1	0	0	0	0
Total, OTPS	\$2,791	\$2,916	\$2,888	\$2,891	\$2,637	(\$251)
TOTAL	\$5,889	\$5,933	\$4,999	\$4,881	\$4,494	(\$505)
Funding						
City Funds			\$4,764	\$4,630	\$4,259	(\$505)
Intra-City			11	26	11	\$0
Other Categorical			15	15	15	\$0
State			210	210	210	\$0
TOTAL			\$4,999	\$4,881	\$4,494	(\$505)
Positions						
Fulltime Positions	47	44	38	34	30	(8)
TOTAL	47	44	38	34	30	(8)

Performance Measures

Provide the public and City agencies with access to public records and publications.

	FY 07	FY 08	FY 09	FY 10 4-Month Actual	Target FY 11
Publications and reports acquired	13,132	11,498	9,861	3,346	*
Records preserved	253,487	240,091	907,439	206,996	260,000
Volume of library collection	310,083	317,168	324,039	326,860	*
Information requests received	64,105	63,722	56,432	17,801	*
- City Hall Library	6,572	5,096	2,295	575	*
- Municipal Archives	57,533	58,626	54,137	17,226	*
- Vital record requests received	35,473	37,505	33,394	9,926	*
Vital record requests responded to in an average of 12 business days (%)	71%	86%	86%	90%	80%
Average response time to vital records requests (days)	8.3	9.1	7.9	6.2	*
Photographic reproduction requests received	5,742	4,801	3,723	1,455	*
Average response time to historical photo requests (days)	14.0	13.0	10.2	12.2	*

*No target number was published for this indicator.

Provide City agencies, the courts, and district attorneys with record storage, retrieval, and retention scheduling services.

	FY 07	FY 08	FY 09	FY 10 4-Month Actual	Target FY 11
Average response time to agency requests for inactive records (days)	NA	NA	1.4	1.3	*
Average time between records disposal eligibility and application sent to Law Department (months)	2.7	1.4	0.9	0.6	*
Average time for Law Department to approve records disposal application (months)	3.4	2.6	1.5	1.8	*
Percent of warehouse capacity available for new accessions	5%	6%	7%	7%	*

*No target number was published for this indicator.

Performance Measure Highlights

The quantity of records preserved by the Department decreased 13 percent during the reporting period, from 237,982 in Fiscal 2009, to 206,996 in Fiscal 2010. Although the Department expects to meet its annual target for this indicator, monthly productivity will continue to be significantly lower than in Fiscal 2009. The project to preserve selected records of the mayoral administration of David Dinkins, funded by the Mayor’s Office, has been essentially completed, and New York State did not award funding this year for a project to preserve historical records of the NYC Board of Education.

Patron requests for information from the City Hall Library and Municipal Archives decreased 12 percent overall, from 20,130 in the first four months of Fiscal 2009, to 17,801 in the same period of Fiscal 2010. The largest proportion of the decline was in patron requests received by the City Hall Library. As more of the Library's resources become available online, fewer patrons request research services in-person or via telephone or e-mail.

The Municipal Archives received 10 percent fewer requests for information in the reporting period, 17,226 in Fiscal 2010 compared to 19,132 in the same period of Fiscal 2009. Contributing to the overall decrease was a 17 percent decline in vital record requests, from 11,944 in the first four months of Fiscal 2009, to 9,926 in the same period in Fiscal 2010. It is likely that this decrease is attributable to overall economic conditions. Most vital records are requested by patrons conducting family history research, a discretionary expense that can be postponed or curtailed during this period of recession.

The Department reduced its average response time to vital records requests by 24 percent, to 6.2 days during the first four months of Fiscal 2010, from 8.2 days in the same period of Fiscal 2009. The reduction in processing time was the result of the decreased demand for this service described above, and increased staff, primarily interns, assigned to process the requests.

Relevant Budget Actions

- **Layoffs.** DORIS proposes to meet its reduction target by laying-off four members of its staff beginning in Fiscal 2010, growing to eight staff members beginning in Fiscal 2011, in various positions throughout the Department. This action would yield a total savings of \$215,000 in Fiscal 2010 growing to \$414,000 in Fiscal 2011 and into the outyears. These savings include credit for fringe benefits costs.
- **Collective Bargaining Adjustments.** The Department's Preliminary Budget includes an annual baseline increase in City funds of approximately \$65,000 beginning in Fiscal 2010 for collective bargaining adjustments for managerial and OJ titles throughout the Department. These funds would be transferred from the Labor Reserve in the Miscellaneous Budget to the Department's budget to cover the costs associated with recent collective bargaining settlements.

Appendix A: Budget Actions in the November and January Plans

<i>Dollars in Thousands</i>	FY 2010			FY 2011		
	City	Non-City	Total	City	Non-City	Total
Agency Budget as of June 2009 Plan	\$4,763	\$236	\$4,999	\$4,529	\$236	\$4,765
Program to Eliminate the Gap (PEGs)						
Layoffs	(\$215)	\$0	(\$215)	(\$414)	\$0	(\$414)
Total, PEGs	(\$215)	\$0	(\$215)	(\$414)	\$0	(\$414)
Other Adjustments						
CBA's	\$65	\$0	\$65	\$65	\$0	\$65
Fringe Offset	17	0	17	80	0	80
Other Categorical Grants	0	16	16	0	0	0
Total, Other Adjustments	\$81	\$16	\$97	\$144	\$0	\$0
Agency Budget as of January 2010 Plan	\$4,629	\$252	\$4,881	\$4,259	\$236	\$4,495